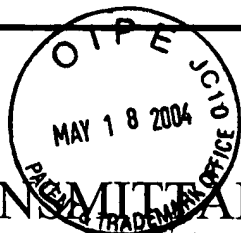


ITW  
3624  
15



# TRANSMITTAL FORM

Application Serial Number	09/664,226
Filing Date	September 18, 2000
First Named Inventor	Li
Group Art Unit	3624
Examiner Name	Akers, Geoffrey R.
Attorney Docket No.	EMT-001
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form  <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]  <input type="checkbox"/> Petition for Extension of Time  <input checked="" type="checkbox"/> Third Information Disclosure Statement <input checked="" type="checkbox"/> Third Form PTO-1449 (1pg.) <input checked="" type="checkbox"/> Copies of IDS Citations (A2-A9)  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application  <input type="checkbox"/> Formal Drawing(s)  <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal  <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> CD(s) for large table or computer program  <input type="checkbox"/> Amendment After Allowance  <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences  <input type="checkbox"/> Appeal Brief (in triplicate)  <input type="checkbox"/> Status Inquiry  <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8  <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8  <input type="checkbox"/> Additional Enclosure(s) (please identify below)
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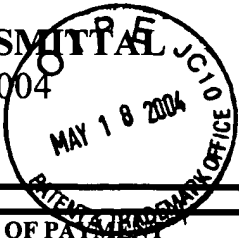
## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110  
 Tel. No.: (617) 248-7000  
 Fax No.: (617) 248-7100

## SIGNATURE BLOCK

Respectfully submitted,  
  
 Date: May 14, 2004  
 Reg. No. 50,389  
 Tel. No.: (617) 248-7097  
 Fax No.: (617) 248-7100  
 Robert S. Blasi, Esq.  
 Attorney for Applicants  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110

# **FEE TRANSMITTAL** FY 2004



Complete if Known

Application Serial Number 09/664,226  
Filing Date September 18, 2000  
First Named Inventor Li  
Group Art Unit 3624  
Examiner Name Akers, Geoffrey R.  
Attorney Docket No. EMT-001

## **METHOD OF PAYMENT**

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other
2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.  
☐ Required Fees (copy of this sheet enclosed).  
☒ Additional fee required under 37 CFR 1.16 and 1.17.  
☒ Overpayment Credit.
3. ☐ Applicant claims small entity status.

## **FEE CALCULATION**

### **1. FILING FEE**

#### **Large Entity**

Fee (\$)	Fee Description	Fee Paid
770	Utility filing fee	
340	Design filing fee	
160	Provisional filing fee	

Number Filed	Number Extra	Rate	Amount
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Total Claims - 20 = x \$ 18.00 =

Independent Claims - 3 = x \$ 86.00 =

☐ Multiple Dependent Claim(s), if any \$290.00 =

TOTAL:

SMALL ENTITY DISCOUNT:

SUBTOTAL (1) (\$) 0.00

### **2. AMENDMENT CLAIM FEES**

Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
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Total - = x \$ 18.00 =

Indep. - = x \$ 86.00 =

☐ First Presentation of Multiple Dep. Claim + \$290.00 =

TOTAL: (\$)

SMALL ENTITY DISCOUNT: (\$)

SUBTOTAL (2) (\$) 0.00

## **CORRESPONDENCE ADDRESS**

Direct all correspondence to:  
 Patent Administrator  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower-125 High Street  
 Boston, MA 02110  
 Tel. No.: (617) 248-7000  
 Fax No.: (617) 248-7100

## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
110	55	Extension for reply within first month	
420	210	Extension for reply within second month	
950	475	Extension for reply within third month	
1480	740	Extension for reply within fourth month	
2010	1005	Extension for reply within fifth month	
330	165	Notice of Appeal	
330	165	Filing a brief in support of an appeal	
290	145	Request for oral hearing	
130	130	Petitions to the Commissioner	
180	180	Submission of Information Disclosure Statement	180.00
770	385	Filing a submission after final rejection (37 CFR 1.129(a))	
770	385	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	
110	55	Submission of Terminal Disclaimer	
Other fee (Specify)			
Other fee (Specify)			

SUBTOTAL (3) (\$) 180.00

SUBTOTAL (1) 0.00

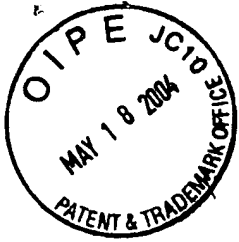
SUBTOTAL (2) 0.00

SUBTOTAL (3) 180.00

TOTAL (\$) 180.00

## **SIGNATURE BLOCK**

Respectfully submitted,  
 Date: May 14, 2004  
 Reg. No.: 50,389  
 Tel. No.: (617) 248-7097  
 Fax No.: (617) 248-7100  
 Robert S. Blasi, Esq.  
 Attorney for the Applicants  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower-125 High Street  
 Boston, MA 02110



PATENT  
Attorney Docket No. EMT-001  
(6696/1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Li *et al.*  
APPLICATION NO.: 09/664,226 GROUP NO.: 3624  
FILING DATE: September 18, 2000 EXAMINER: Akers, Geoffrey R.  
TITLE: Auction Management

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**THIRD INFORMATION DISCLOSURE STATEMENT**

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, the Applicants hereby make of record the patents and publications listed on the accompanying Third Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents (A2-A9) are enclosed.

05/19/2004 LWONDIM1 00000011 09664226

01 FC:1806

180.00 DP

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed:

- ☐ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☒ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

**STATEMENT**

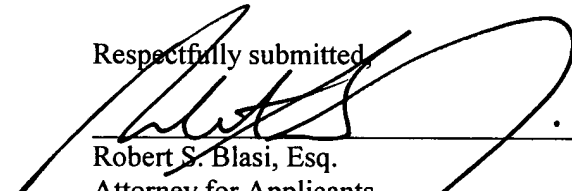
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

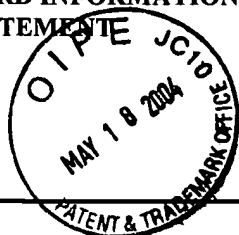
Date: May 14, 2004  
Reg. No. 50,389

Tel. No.: (617) 248-7097  
Fax No.: (617) 248-7100

Respectfully submitted,

  
Robert S. Blasi, Esq.  
Attorney for Applicants  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, Massachusetts 02110

<b>THIRD FORM PTO - 1449</b>  <b>THIRD INFORMATION DISCLOSURE STATEMENT</b>	ATTORNEY DOCKET NO.: EMT-001 (6696/1)  APPLICANT(S): Li <i>et al.</i>  APPL. NO.: 09/664,226  FILING DATE: September 18, 2000  GROUP: 3624
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U.S. PATENT DOCUMENTS							
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A2	6,285,989	9/4/01	Shoham	705	37	8/7/98
	A3	6,584,451	6/24/03	Shoham et al.	705	37	6/8/99
	A4	6,606,603	8/12/03	Joseph et al.	705	26	3/26/99
	A5	2003/0028475	2/6/03	Boutilier et al.	705	37	8/2/02
	A6	2003/0195835	10/16/03	Sandholm et al.	705	37	9/25/02
	A7	2004/0010461	1/15/04	Boutilier	705	37	7/11/03
	A8	2004/0059664	3/25/04	Suri et al.	705	37	3/27/03
	A9	2004/0059665	3/25/04	Suri et al.	705	37	3/27/03

FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.		OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)

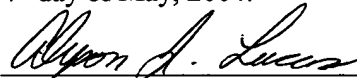
EXAMINER	DATE CONSIDERED
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Li *et al.*  
SERIAL NO.: 09/664,226 GROUP NO.: 3624  
FILING DATE: September 18, 2000 EXAMINER: Akers, Geoffrey R.  
TITLE: Auction Management

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 14<sup>th</sup> day of May, 2004.

  
Alyson J. Lucas

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Submitted herewith is/are:

Transmittal Form (1 page);  
Fee Transmittal Form (1 page);  
Check No. 232010 in the amount of \$180.00;  
Third Information Disclosure Statement ( 2 pages);  
Third Form PTO 1449 (1 page);  
Copy of the Cited Reference (A2-A9) and  
Return Receipt Postcard.